

RTO

RTO Policy 5: Complaints and Appeals

BE HEARD.
BE RECOGNISED.



OWNERSHIP

This policy is the responsibility of CPA Australia’s Registered Training Organisation (**CPA Australia RTO**) working group (**CPA Australia RTO Working Group**).

Scope

CPA Australia Ltd (**CPA Australia**) has established this policy to support the Australian Skills Quality Authority (**ASQA**) *Standards for NVR Registered Training Organisations (RTO) 2015*. The policy has been developed and implemented by the CPA Australia RTO Working Group to support and provide clear instruction and guidance to program Candidates and CPA Australia Personnel on the handling of complaints and appeals from Candidates.

Review and Maintenance

Maintenance and review of the CPA Australia RTO Qualifications Issuing Policy is the responsibility of the CPA Australia RTO Working Group. The CPA Australia RTO Working Group will maintain ongoing records of the elements and application of this policy. The CPA Australia RTO Working Group will provide ongoing reports to all relevant stakeholders.

Change Record

Date	14 May 2018
Version	8.0
Description	Eighth Update
Author	CPA Australia RTO Working Group
Doc #	#2386165_8

* This policy replaces the previous RTO CPA Complaints and Grievances Policy V1.2 (#422592_1) and RTO CPA Participant Complaints & Grievances Policy V1.2 (#419225_1) document used when registered with VRQA.

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POLICY

Our Commitment

CPA Australia RTO is committed to providing Candidates, staff and stakeholders the best possible environment in which to study or work. The organisation understands that on occasion, there may be instances of dissatisfaction and acknowledges that the cause(s) must be addressed and rectified promptly.

In such instances, CPA Australia RTO invites feedback from the dissatisfied party so that a resolution can be found and as an opportunity to consolidate the feedback into a review and improvement of the CPA Australia RTO's policies and practices.

CPA Australia RTO will address any and all complaints in a fair, constructive and timely manner. The complainant has the right for their complaint to be heard and for an impartial decision to be made at no cost to themselves. Complainants have the right to appeal a decision.

This policy and associated procedure supports CPA Australia RTO to provide a process for complaints and appeals to be heard and actioned. All complaints and appeals received by CPA Australia RTO will be viewed as an opportunity for improvement.

Types of Complaints or Appeals

A complaint or appeal may include, but is not limited to;

Complaints

- Course advice and enrolment
- Suspension and/or cancellation of enrolment
- Program delivery
- Marketing and promotional activity
- Personal safety
- Customer service and administration
- Issue of results, certificates, statement of attainment
- Learning resources
- Fees and charges
- Equity and access, discrimination, harassment and bullying

Appeals

- Assessment process and decision
- Candidate progress and academic progress decisions

Procedure: Actions and Responsibility

In keeping with CPA Australia’s vision to be known as the world’s best member services organisation, CPA Australia RTO aims to provide excellent service in every aspect of its day-to-day practices and activities. CPA Australia RTO acknowledges that occasionally complaints may arise that require a formal resolution. The following procedures provide information on how to have a complaint or appeal resolved and a resolution reached by all parties.

General Complaints

Action	Responsibility
<p>CPA Australia RTO may receive complaints from Candidates, staff or stakeholders and members of the public through a variety of means e.g.: verbally, written documentation, electronically (email).</p> <p>Where possible all non-formal attempts shall be made to resolve the issue. This may include advice, discussions, and general mediation in relation to the issue and the Candidate’s issue. Any staff member can be involved in this informal process to resolve issues but once an individual has placed a formal complaint /appeal the following procedures must be followed.</p> <p>Once a formal complaint is received, the CPA Australia RTO Manager will acknowledge receipt of the complaint in writing to the complainant, and will seek to identify the issue and resolve the concern so as to avoid any further disruption to the complainant (where applicable).. The organisation encourages both staff and complainants to approach the complaint openly and honestly so as to resolve problems through fair and reasonable means.</p>	<p>CPA Australia RTO Personnel</p> <p>Complainant</p>
<p>Any Candidate, potential Candidate, or third party may submit a formal complaint to CPA Australia RTO with the reasonable expectation that all complaints will be treated with integrity and privacy. There is no cost for accessing the internal complaints and appeals process.</p> <p>When a complaint or appeal cannot be resolved through informal discussion, the complainant is asked to complete a Complaints and Appeals Form, stating their case and providing as much detail as possible, and submit this to the CPA Australia RTO Manager either by email or post. The CPA Australia RTO Manager will acknowledge receipt of the complaint in writing to the complainant.</p> <p>Complaints are to include the following information:</p> <ul style="list-style-type: none"> • Submission date of complaint • Name of complainant • Nature of complaint • Date of the event which lead to the complaint; and • Attachments (if applicable) <p>The Complaints and Appeals Form is available on the website at www.cpaustralia.com.au or can be sent to the complainant on request.</p>	<p>CPA Australia RTO Personnel</p> <p>CPA Australia RTO Manager</p> <p>Complainant</p>

<p>Once the Complaints and Appeals Form is received the details are recorded on the Complaints and Appeals Register which is reviewed and maintained by the CPA Australia RTO Manager.</p> <p>Information recorded on the Complaints and Appeals Register includes;</p> <ul style="list-style-type: none"> • A specific complaint number • Submission date of the complaint • Name of the complainant • Description of the complaint • Determined resolution (outcome) • Date of outcome <p>A letter acknowledging receipt of the complaint will be sent by the CPA Australia RTO Manager to the complainant and, where a complaint refers to an individual, the individual will be informed by the CPA Australia RTO Manager of the complaint and will be invited to respond to the allegation either through discussion, or (written) correspondence.</p> <p>Any discussion held with the CPA Australia RTO Manager must be minuted and these minutes kept on file along with details of the original complaint.</p> <p>A separate interview will be held by the CPA Australia RTO Manager (or a member of the CPA Australia RTO Working Group if the complaint is about the CPA Australia RTO Manager).</p>	<p>CPA Australia RTO Personnel</p> <p>CPA Australia RTO Manager</p>
<p>Complainants have the right to access advice and support from independent external agencies and/or persons at any point of the complaint and appeals process. Use of external services will be at the complainant’s costs unless authorised by the CPA Australia RTO Working Group.</p>	<p>CPA Australia RTO Working Group</p>
<p>The CPA Australia RTO Manager will investigate all complaints recorded on the Complaints Register and identify a satisfactory resolution to the issue.</p> <p>The proposed resolution will be communicated to all parties involved in the complaint within 10 working days and agreement to the proposed resolution sought. Upon receipt of the agreement, the CPA Australia RTO Manager will;</p> <ul style="list-style-type: none"> • Provide the Complainant with written confirmation of the resolution • Record the action(s) taken to resolve the complaint on the Complaints Register • Where applicable communicate the outcome of the complaint resolution to the relevant CPA Australia RTO or CPA Australia staff member • If applicable, document the need for amendment to CPA Australia RTO policy and/or procedure documentation in the Continuous Improvement Register and implement the necessary improvement (both the Complaints and Appeals Register and the Continuous Improvement Register are reviewed regularly by the CPA Australia RTO Working Group at their meetings) • Within the notification of the outcome of the formal complaint the Complainant shall also be notified that they have the right of appeal. To appeal a decision CPA Australia RTO must receive, in writing, grounds of the appeal. Complainants are referred to the Appeals Procedure. 	<p>CPA Australia RTO Manager</p> <p>Complainant</p>

<p>Where CPA Australia RTO feels the complaint may take longer than 60 days to resolve, CPA Australia RTO Manager will</p> <ul style="list-style-type: none"> a) inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and b) provide regular updates to the complainant or appellant on the progress of the matter. <p>The CPA Australia RTO Manager will act immediately on any substantiated complaint. If the internal or any external complaint handling or appeal process results in a decision that supports the Complainant, CPA Australia RTO will act immediately implement any decision and/or corrective and preventative action that is required, and advise the Complainant of the outcome.</p>	
<p>Any documentation including written notes of the progress of a complaint, outcomes, actions and resolution, will be kept by CPA Australia RTO and filed in the Candidate's personal folder. Any complaint received that is not from a Candidate, will be stored in the dedicated Complaints and Appeals folder maintained by CPA Australia RTO Management.</p>	<p>CPA Australia RTO Personnel CPA Australia RTO Manager</p>
<p>No Candidate, staff member, stakeholder or member of the public will be disenfranchised in any way during the complaint and resolution process.</p> <p>A Candidate's progress through a study program will not be disrupted whilst a complaint is being heard unless the nature of the issue itself means further progress is not possible.</p> <p>Complainants will observe strict confidentiality during all stages of the complaints resolution process. All communications and proceedings arising from the complaints process will remain confidential at the conclusion of the complaints resolution process.</p> <p>Complainants have the right to nominate third party representation (e.g.: a family member or friend, counsellor, professional representation or support person) if they require.</p>	<p>Complainant CPA Australia RTO Personnel</p>
<p>An annual review of the complaints resolution process will be conducted as part of the RTO Working Group annual meeting.</p>	<p>CPA Australia RTO Working Group</p>

Appealing a Decision

Action	Responsibility
<p><u>Assessment Appeals</u></p> <p>Candidates are entitled to formally appeal the outcome of the assessment decision by completing the Complaints and Appeals Form, stating their case and providing as much detail as possible, and submit this to the CPA Australia RTO Manager either by email or post.</p> <p>Candidates are to include the following information:</p>	<p>CPA Australia RTO Personnel Candidate</p>

<ul style="list-style-type: none"> • Submission date of appeal • Name of appeal; • Nature of appeal; • Supporting documentation regarding their assessment outcome • Attachments (if applicable) <p>The Complaints and Appeals Form is available on the website at RTO Policies and Forms webpage or can be sent to the Complainant on request by emailing rt0@cpaaustralia.com.au.</p>	
<p>Once the Complaints and Appeals Form is received the details are recorded on the Complaints and Appeals Register which is reviewed and maintained by the CPA Australia RTO Manager. Information recorded on the Complaints and Appeals Register includes;</p> <ul style="list-style-type: none"> • A specific appeal number • Submission date of the appeal • Name of the appeal • Description of the appeal • Determined resolution (outcome) • Date of outcome 	<p>CPA Australia RTO Personnel CPA Australia RTO Manager</p>
<p>The CPA Australia RTO Manager will seek details from the Assessor involved and any other relevant parties.</p> <p>A decision will be made regarding the appeal either indicating the assessment decision stands or details of a possible re-assessment by a third party. The third party will be another Assessor appointed by CPA Australia RTO.</p>	<p>CPA Australia RTO Manager CPA Australia RTO Personnel</p>
<p>The Candidate will be notified in writing of the outcome with reasons for the decision, and the 'Complaints and Appeals Register' updated.</p> <p>The Candidate will also be provided the option of activating the external appeals process if they are not satisfied with the outcome.</p> <p>The Candidate is required to notify CPA Australia RTO if they wish to proceed with the external appeals process</p>	<p>Candidate CPA Australia RTO Personnel</p>
<p>External Appeals</p> <p>If not satisfied with the decision in either the formal complaints or appeals procedures, the Complainant may request that the matter be further reviewed by an external dispute resolution process, by the body appointed by CPA Australia RTO for that purpose.</p> <p>The details of this external body are as follows:</p> <p>Dispute Resolution Centre of Victoria</p> <p>Contact details are:</p> <p>Dispute Assessment Officer Dispute Resolution Centre of Victoria Level 4, 456 Lonsdale Street Melbourne VIC 3000</p>	<p>Complainant</p>

<p>Tel: 9603 8370 www.disputes.vic.gov.au/</p>	
<p>If a Complainant (Candidate or third party) is still dissatisfied with the decision of CPA Australia RTO, they may wish to seek legal advice or place a complaint about CPA Australia RTO to ASQA directly (please be aware that ASQA does not act in a mediation capacity).</p> <p>If, after CPA Australia RTO's internal complaints and appeals processes have been completed, the Complainant still believes CPA Australia RTO is breaching or has breached its legal requirements, they can submit a complaint to ASQA by completing the online complaint form: https://rms.asqa.gov.au/registration/newcomplaint.aspx</p> <p>Except in exceptional circumstances, complaints must attach evidence to the complaint form showing:</p> <ul style="list-style-type: none">• That they have followed CPA Australia RTO's formal complaints procedure; and• CPA Australia RTO's response. <p>ASQA's processes require the Complainant to identify themselves to ASQA as "the" Complainant, although a Complainant may request that their identity is kept confidential throughout any investigation that ASQA undertakes.</p> <p>Australian Skills Quality Authority</p> <p>Tel: 1300 701 801 www.asqa.gov.au</p>	<p>CPA Australia RTO Working Group</p>

Associated Documentation

- Candidate Handbook
- CPA Australia Policies and Procedures
- Complaints and Appeals Form
- Complaints and Appeals Register
- Continuous Improvement Policy
- Continuous Improvement Register